

2003

Celebrating 15 Years

National Institute of Standards and Technology
Technology Administration • Department of Commerce
Baldrige National Quality Program



Scorebook

for Business, Education, and Health Care

Scorebook

for Business, Education, and Health Care

Examiner's Name _____ Number of Hours Worked _____

Applicant Number _____

Sent to Examiner _____

Date

Return the scorebook via
overnight mail before _____

Due date

Process Stage:

☐ Stage 1
Independent Review ☐ Stage 2
Consensus Review ☐ Stage 3
Site Visit Review

Criteria, Score Summary Worksheet, and Scoring Guidelines Used:

☐ Business ☐ Education ☐ Health Care

Return the scorebook to

Malcolm Baldrige National Quality Award
American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205

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INTRODUCTION AND GENERAL INSTRUCTIONS

Introduction

This scorebook provides Examiners with a concise, organized, and standardized method to record their comments and scores as they evaluate applicants for the Malcolm Baldrige National Quality Award. In Stage 1, this scorebook is used to record individual Examiner's findings. In Stages 2 and 3, the scorebook is used to record the findings of the Examiner Team.

A suggested process for scorebook completion (beginning on page 2) illustrates a systematic method for evaluating an applicant.

Timeliness

The cooperation of Examiners in adhering to due dates in the application review process is critical to the Program's success in every stage of the process.

Confidentiality

The application, the scorebook, all notes, computer files, and all other information relating to the applicant are highly confidential. Examiners should not conduct their review in the presence of others or leave any applicant-related documents where other people can access them.

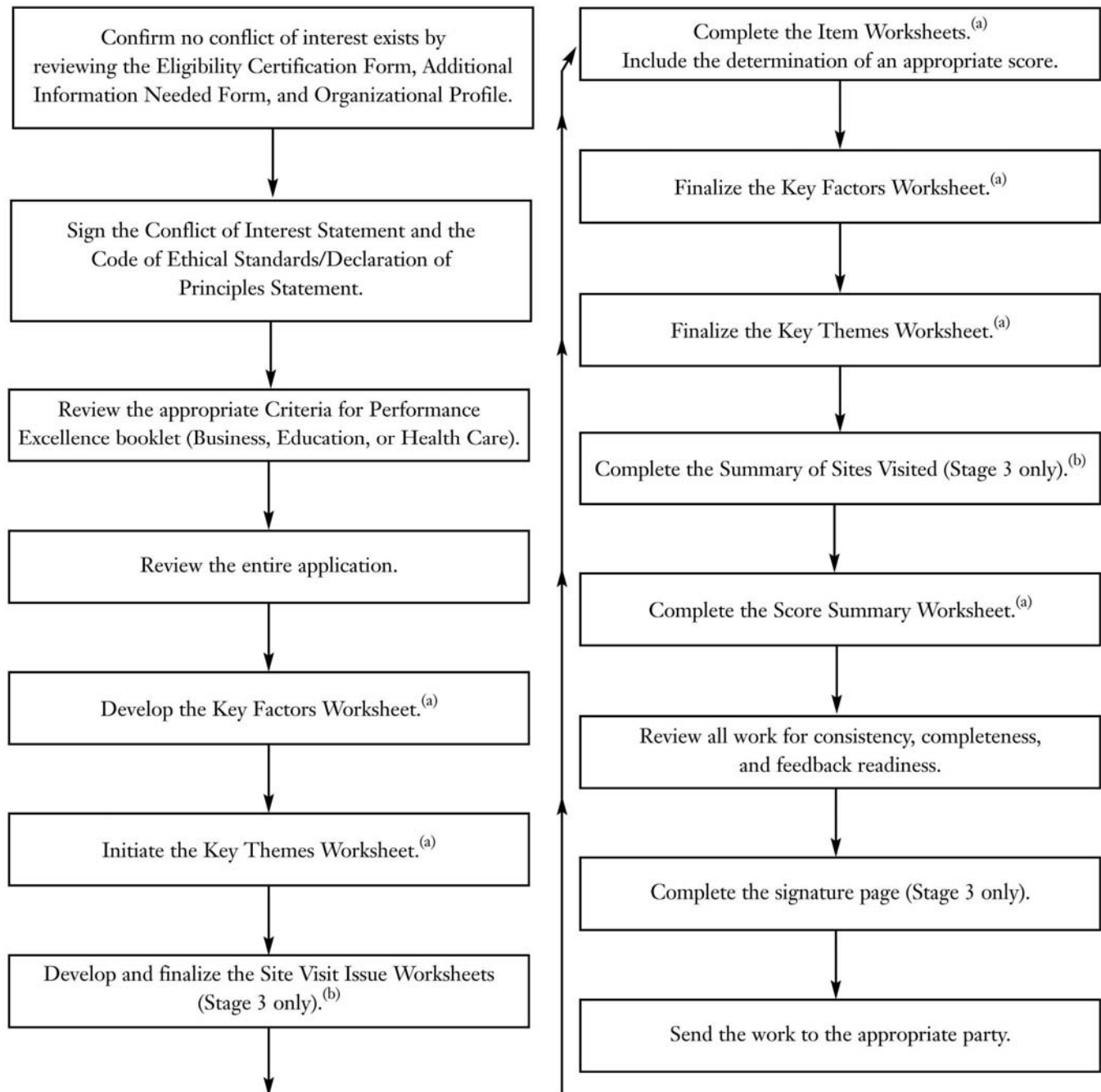
Scorebook Completion and Return—Stage 1

Before beginning the assessment, ensure that you do not have a conflict of interest with the applicant. Read and sign the Conflict of Interest Statement on page 15 and the Code of Ethical Standards/Declaration of Principles Statement on page 16. If you detect a potential conflict of interest or an ethics issue, immediately call the Baldrige National Quality Program Office.

Use word processing software to prepare the scorebook. Prepare or save all scorebook worksheets in Word 6.0/95, 12 point, Times New Roman. In addition,

- use the worksheets and forms contained in this document or create your own using a similar format;
- check that all required forms and worksheets are complete and collate them as indicated in the instructions;
- record the scores on the appropriate Score Summary Worksheet (Business, Education, or Health Care);
- complete the Checklist on page 45; and
- return a complete paper copy of the scorebook to the American Society for Quality (ASQ) with the following:
 - the cover sheet
 - the signed Conflict of Interest Statement
 - the signed Code of Ethical Standards/Declaration of Principles Statement
 - the Key Factors Worksheet
 - the Key Themes Worksheet
 - one Item Worksheet for each Item in ascending numerical order (e.g., 1.1, 1.2, 2.1)
 - the appropriate Score Summary Worksheet
 - the completed Checklist

SCOREBOOK DEVELOPMENT PROCESS



Notes:

- ^(a) Stage 1—Individual Examiners complete, develop, and finalize.
 Stages 2 and 3—Assigned team members develop and finalize.
- ^(b) Stage 3 Only—Assigned team members develop and finalize.

RECOMMENDED PROCESSES FOR EVALUATING APPLICATIONS AND COMPLETING SCOREBOOKS

Examiners receive and evaluate an application and communicate their findings in a scorebook. The Scorebook Development Process is depicted in the flowchart on page 2. The following is a description of the continuum of activities from evaluating an application to completing the scorebook.

Step 1: Prepare

- A. Confirm there is no conflict of interest with the applicant by reading the applicant's Eligibility Certification Form, Additional Information Needed Form, and Organizational Profile, with particular attention to the applicant's organization chart, customers, competitors, and suppliers. Notify the Baldrige National Quality Program Office immediately if you identify any situation, including business, personal, or financial relationships, that could be perceived as affecting your ability to review the applicant fairly and objectively.
- B. Sign the Conflict of Interest and the Code of Ethical Standards/Declaration of Principles Statements, indicating that you have no conflict with this applicant and will abide by the Code of Ethical Standards.
- C. Assemble supplies, including
 - the appropriate *Criteria for Performance Excellence* booklet (Business, Education, or Health Care)
 - the application report
 - the *Scorebook for Business, Education, and Health Care*
 - a calculator
 - writing implements/marketing tools
 - a watch or clock

Evaluating an application typically takes 30–40 hours. Therefore, set aside large blocks of time for the process. Keep track of your time, and record the total hours worked on the front cover of the scorebook. If at any point in the process you are concerned about making your deadline, please call NIST.

- D. Mark the organization chart and glossary of the application for easy reference.
- E. Review the appropriate *Criteria for Performance Excellence* booklet (Business, Education, or Health Care). The review process requires a working knowledge of all sections (e.g., the Criteria, Scoring System, Core Values and Concepts, and Glossary of Key Terms) in order to evaluate an applicant properly.
- F. Read the entire application report from cover to cover, including the Eligibility Certification Form, the Additional Information Needed Form, the Organizational Profile, and the applicant's response to the Criteria Items, to gain a comprehensive understanding of the organization.
- G. Reread the Organizational Profile, the Eligibility Certification Form, and the Additional Information Needed Form, noting (with highlighters or margin notes) the points that are particularly relevant and important to the proper evaluation of the applicant, as well as any emerging key themes. The applicant's responses throughout the application and the Examiner's evaluation should reflect the key business/organization factors (KFs) identified by the applicant in the Organizational Profile and in the Key Business/Organization Factors section of the applicant's Additional Information Needed Form.

Step 2: Evaluate

- A. Prepare the **Key Factors (KFs) Worksheet** by listing the KFs for the applicant. The purpose of the Key Factors Worksheet is to give a concise summary of the most important aspects of the applicant's organizational environment. Each KF describes a significant fact about or aspect of the applicant (e.g., environment, key working relationships, strategic challenges). The Key Factors Worksheet is generally 1–2 pages in length. It consists of phrases delineated by bullets and arranged into the five Areas to Address from the Preface: Organizational Profile section of the *Criteria for Performance Excellence* booklets (e.g., P.1a., Organizational Environment; P.1b., Organizational Relationships). At the end of your examination, finalize this worksheet.
- B. Begin to prepare the **Key Themes Worksheet**. A key theme is a strength or an opportunity for improvement (OFI) that is common to more than one Item or Category (cross-cutting), is especially significant in terms of the applicant's KFs, and/or addresses a Core Value of the Criteria. This worksheet provides an overall summary of the key points in the evaluation of the application and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review, and/or Stage 3, Site Visit Review.
1. The Key Themes Worksheet addresses three areas—strengths, opportunities, and results—and responds to three questions:
 - a. What are the most important **strengths** or outstanding practices (of potential value to other organizations) identified?
 - b. What are the most significant **opportunities**, concerns, or vulnerabilities identified?
 - c. Considering the applicant's KFs, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to **Results** Items?
 2. Several iterations of the Key Themes Worksheet will be made throughout the evaluation process. Use the first draft to capture initial impressions but do not spend a great deal of time crafting the comments. The Key Themes Worksheet should be updated based on the analysis performed for the Item Worksheets. Once the Item Worksheets have been finalized, the Key Themes Worksheet should capture the final assessment of the three questions.
 3. Comments on the final version of the Key Themes Worksheet should consist of a single, complete thought tied to the Criteria requirements, the applicant's KFs, and/or the Criteria Core Values, as appropriate. Each comment should be delineated by a bullet, and there should be two lines between comments. The Key Themes Worksheet is generally 2–3 pages in length and consists of comments that respond to the Key Themes questions. Comments should follow the Comment Guidelines on page 9.
 4. The content of the Key Themes Worksheet will be revised as part of the consensus review and/or the site visit review if an applicant proceeds to Stage 2 or Stage 3.
- C. Prepare the **Item Worksheet**. Start by reading the Criteria requirements for the Item being reviewed, noting whether the Item requests the applicant to discuss an approach and its deployment or the results of approaches discussed in other parts of the application.
1. Review the applicant's KFs as identified on the Key Factors Worksheet. Identify and write the 4–6 most important KFs for this Item in the appropriate section of the Item Worksheet. If an additional Key Factor becomes apparent in the evaluation process, add it to the appropriate Item's list of KFs and the Key Factors Worksheet.
 2. Read the applicant's response to the same Item. Assess the applicant's response against the Criteria requirements. It is helpful to make notes by highlighting key information and writing margin notes. If

the applicant provides cross-references or relevant information elsewhere in the application report, consider that information also in assessing the Item. However, do not make assumptions, positive or negative, that cannot be supported by the information presented in the application report.

3. Synthesize from your notes the most important observations into 6–10 comments about the applicant's approach and deployment or results for the Item. Importance should be based on the content and completeness of the Approach-Deployment Item responses and the trends, performance, comparisons, breadth, and importance of Results Item responses, taking into account the organization's KFs.
4. Record the comments as strengths or OFIs in the space provided on the Item Worksheet for that Item. Comments should meet the following requirements:
 - Each comment should consist of a single, complete thought tied to the Criteria requirements. Each comment should contain a subject identified from the Criteria, verb(s) from the Criteria, examples from the application, and citations of figure numbers, as appropriate. Comments also should be linked to the applicant's KFs.
 - An OFI should be written for any Area to Address to which the applicant has not responded.
 - Comments should be prefaced with a + or ++ sign for strengths or a – or – – sign to indicate OFIs. The use of ++ and – – should indicate particularly important observations that have a major impact on the applicant's score for the Item and/or particular significance to the applicant's performance management system. Examiners should designate comments concerning important missing information with a – or – – sign. For both strengths and OFIs on each Item, use a, b, c, (1), (2), (3) to indicate the corresponding Area to Address found in the Item. A sample Item Worksheet showing the use of these signs and typical comments is provided on page 11.
 - Each of the Category 7 worksheets asks you to indicate a characteristic(s) that applies to each comment:
 - Levels and Trends refers to the organization's current performance and the direction of results and the rates of change
 - Segmentation refers to how the data are organized into various groupings that address the organization's key factors
 - Comparisons refers to how the organization's results compare to other, appropriately selected organizations
 - Gap refers to information that is missing, based on the applicant's Key Factors and the applicant's responses to Categories 1 through 6.

This additional information in Category 7 can help you in three ways:

- 1) Preparing strength and OFI comments that best help the applicant understand the linkages between its approach-deployment processes, as described in Categories 1 through 6, and its results;
 - 2) Determining the “best fit” score, as described in the Scoring Guidelines; and
 - 3) Identifying appropriate information for the “c” question in Key Themes.
- Check to be sure that your strength comments and OFI comments are not contradictory within the same Item. Upon completion of the Scorebook, check to be sure they are not contradictory among all of the Categories.
5. Begin scoring an Item by reviewing the Item requirements, Item comments, and relative importance of the strengths and OFIs.

- a. Read the description of the scoring ranges in the appropriate Scoring Guidelines on pages 38, 40, and 42 of this document. The Scoring Guidelines are divided into two parts: the left side contains scoring dimensions for Approach-Deployment Items; the right side contains scoring dimensions for Results Items.

Note: Approach-Deployment Item scoring ranges are determined by the strength of the applicant's approach, deployment, improvement, and integration. Results Item scoring ranges are determined by levels, trends, comparisons, and relevance to improving the organization's performance.

- b. Determine the scoring range (0%, 10-20%, 30-40%, 50-60%, 70-80%, 90-100%) that best reflects the comments written about the applicant's level of performance on the Item being scored, i.e., the "best fit." Begin by reading the description for the 50-60% range. If it seems appropriate, read the range descriptions above and below to determine at which end of the range the applicant will score. If the 50-60% range is not appropriate, read the ranges above and below until you have determined the best fit. Then read the range descriptions above and below the best fit to determine at which end of the range the applicant would fall. Each Item is scored independently; the scoring range for or impressions about one Item should not influence evaluations and scoring of other Items. Typically, applicants will be stronger in some Items than others.
 - c. Determine an appropriate score within the scoring range (e.g., 30% out of the 30-40% range). For Stage 1, Independent Review, only multiples of 10 (i.e., 10%, 20%—not 15%, 28%) are used. Verify that the score for an Item is consistent with the comments, both in terms of the number of strengths and OFIs for the Item and the weight and substance of the comments themselves. For example, for an Item scoring at 20%, the majority of comments would be OFIs. Conversely, an Item scoring at 60% would have a majority of strength comments.
6. Reread the comments to ensure they are consistent with both the score and the language of the scoring range. Alter the comment language/score as necessary.
 7. Record the application number, Item score, and your initials in the spaces provided on the Item Worksheet.
 8. **(For Stage 2, Consensus Review, Only)**
 - Consensus Teams are required to prepare a scorebook that represents the consensus opinion of the entire team. The consensus scorebook should include the Key Factors Worksheet, Key Themes Worksheet, Item Worksheets, and Score Summary Worksheet. Comments found in the consensus scorebook should be well-written, "feedback ready" comments. As in Stage 1, comments on Item Worksheets should consist of a single, complete thought tied to the Criteria requirements and should be linked to the applicant's KFs. Comments on the Key Themes Worksheet should consist of a single, complete thought tied to the Criteria requirements, the applicant's KFs, and/or the Criteria Core Values, as appropriate. All comments must consist of 1–3 complete, actionable, and non-prescriptive sentences that cite specific examples from the application and meet the content and style requirements of the Comment Guidelines.
 - Record site visit issues in the space provided on the Item Worksheet. These are major/important issues that would need to be verified or clarified on site in the event that the applicant goes to Stage 3, Site Visit Review. Issues for on-site **verification** include the applicant's approach, the extent of deployment of the approach, and the results presented. For example, if a strength comment discusses the existence of a systematic process, the team would verify that the process exists and operates as presented in the written application. During the site visit, the Site Visit Team would verify that appropriate credit was given during the consensus review of the written application. This is particularly true in instances where the Consensus Team gave the applicant the benefit of the doubt.

Issues for **clarification** include those that were unclear or not addressed in the application yet have been determined to be central to the Item requirements and relevant and important to the applicant's organization. This information gap may have prevented the Consensus Team from fully or fairly evaluating the applicant. For example, if the Item requires the applicant to present comparison data but the data are not provided, a site visit issue would be to clarify if the applicant has comparison data and, if so, how they are used and what the data show about the applicant's reported results relative to other organizations. (Examples of site visit issues are shown on the sample Item Worksheet on pages 11–12.)

- For Stage 2, Consensus Review, the Consensus Team may use any whole number when coming to a consensus score (e.g., 15%, 28%, 60%). When using the average, if necessary, round the percent score to the nearest whole number (0–4 round down, 5–9 round up). Also, round the point scores to the nearest whole number.

9. (For Stage 3, Site Visit Review, Only)

- Please see the Site Visit Review section found at the back of this book for instruction on the use of the Item Worksheets during Stage 3, Site Visit Review. At Stage 3, Site Visit Review, no rescoring is done; however, the Site Visit Team will be asked to indicate the impact of its findings on the consensus score. The impact is captured by selecting one of the following options: raise large, raise small, no change, lower small, or lower large.

- D. Repeat the above components of “Step 2: Evaluate” (page 4) for each Item of the appropriate *Criteria for Performance Excellence*.
- E. Complete the Key Themes Worksheet begun earlier in the evaluation process. Add, delete, or modify themes as a result of the analysis performed while preparing the Item Worksheets. The Key Themes Worksheet should not just repeat the findings given in the Item Worksheets. Instead, key themes should offer a more comprehensive, higher-level perspective, based on strengths and OFIs common to more than one Category or Item, Category linkages, the applicant's KFs, and/or the Criteria Core Values. The Key Themes Worksheet should provide information from the evaluation of the written application and, when applicable, from the consensus and site visit review processes.

Step 3: Finalize

- A. Review the Key Factors Worksheet, all Item Worksheets, and the Key Themes Worksheet, ensuring that
- comments are consistent within and among Items and Key Themes (e.g., an aspect of the application cannot be a strength in one Item/Key Theme and an OFI in the same or another Item/Key Theme).
 - comments cover the major points and objectives of the appropriate Criteria and focus on what is important to the applicant as determined by the KFs.
- B. Complete the appropriate **Score Summary Worksheet** (Business, Education, or Health Care) with scores for each Category and Item.
1. Transfer the percent score from each Item Worksheet to Column B of the appropriate Score Summary Worksheet.
 2. Compute and record the point score for each Item in Column C, rounding to the nearest whole number, as necessary.
 3. Compute and record in Column C (Sum C) the Category score for each Category by adding together the Item points.
 4. Compute and record at “D” a Grand Total by summing the Category point scores in Column C.
 5. Verify scores and calculations.

6. Using the Scoring Band Descriptors (page 44), confirm that the Grand Total in “D” falls within a scoring band whose descriptor reflects your overall view of the applicant. If the descriptor is not accurate, give a brief description of the discrepancy.
- C. Complete the cover sheet, indicating the number of hours spent on the evaluation.
- D. Complete the Checklist on page 45.
- E. Assemble a paper copy of the scorebook with the pages in the following order:
1. the cover sheet
 2. the signed Conflict of Interest Statement
 3. the signed Code of Ethical Standards/Declaration of Principles Statement
 4. the Key Factors Worksheet
 5. the Key Themes Worksheet
 6. one Item Worksheet for each Item in ascending numerical order (e.g., 1.1, 1.2, 2.1)
 7. the appropriate Score Summary Worksheet
 8. the completed Checklist

Step 4: Return

- A. Insert the completed scorebook (keep the application) in the return envelope provided by ASQ. Return it to ASQ by the due date given on the front cover of the scorebook.
1. ASQ will provide the overnight mail service account number to be used.
 2. The package should be sent by overnight carrier to ASQ’s street address:

Malcolm Baldrige National Quality Award
American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205
- B. Contact ASQ if you do not receive a fax acknowledging receipt of the scorebook.
- C. Retain the application until notified by ASQ to return it, and then respond to that request immediately. ASQ will acknowledge receipt by fax.
- D. After being notified by ASQ that the application has been received, the Examiner should destroy all computer files and notes relating to the application.

COMMENT GUIDELINES: To develop a well-written comment, follow the guidelines listed below.

Content Guidelines

1. Use a **single, complete thought** to clearly specify the strength (using specific examples from the application) or OFI (using specific omissions or concerns identified from the application).
2. Address central requirements of the Criteria, and do not go beyond the requirements of the Criteria.
3. Structure each comment so that it contains a subject identified from the criteria, verb(s) from the Criteria, examples from the application, and citations of figure numbers, as appropriate.
4. Include comments that are most relevant and important to the applicant based on its key factors.
5. Draw linkages across Items or between an Item and the applicant's Organizational Profile.
6. Do not contradict other comments found elsewhere in the scorebook. Contradictions may occur when a writer does not clearly specify the strength or opportunity as noted above.
7. Be nonprescriptive. Refrain from using "could," "should," and "would."
8. Be nonjudgmental. Refrain from using terms such as "good," "bad," or "inadequate." State the observation in a factual manner, e.g., "Customer satisfaction rates have increased over the past three years."

Style Guidelines

1. For Stage 1 and 2 scorebooks, use such words as "the applicant," "the organization," "the company," "the school" or "the health care system" to refer to the applicant. The applicant's name is used only in Stage 3 scorebooks.
2. Use the applicant's terminology when appropriate.
3. Use a polite, professional, and positive tone.
4. For Stage 1 and 2 scorebooks, tell what is missing if something "is not clear." However, do not use "It is not clear" in Stage 3 scorebooks. After the site visit, "it is not clear" is no longer appropriate.
5. Highlight an applicant's substantive strength or OFI, not the writing style or graphics. For example, avoid phrases such as "should be addressed in Item 3.2," "x axis is not clear," or "is poorly described," because these are criticisms of the writing, not the applicant's performance system.
6. Regardless of where the applicant places the information in the application, identify strengths or OFIs according to where the Item falls in the Criteria.
7. Use vocabulary and phraseology from the Criteria and the Scoring Guidelines.
8. Avoid jargon and acronyms unless they are used by the applicant.
9. Provide a figure number when reference is made to information from a figure.

Sample Comments (Also see the sample Item Worksheet on page 11.)

Item 2.1

- + a(1) The applicant uses a five-step Strategic Planning Process (Figure 2.1-1) to determine short-term (one- to two-year) organizational objectives and plans. Key participants include the leadership team and employees from headquarters and from all plant locations.
- a(1, 2) Although the applicant uses its Strategic Planning Process to develop short-term objectives and plans, that process does not appear to provide for the development of longer-term strategic objectives and plans or the gathering and analysis of data relating to the future, such as changes in customer and market expectations, the competitive environment, and technology.

Item 6.1

- a(2,3) Although the applicant uses surveys, focus groups, and complaint data to obtain input from students, faculty, and staff relating to student services, there is no description of a process for integrating and using the input to determine key student service requirements and to control and improve those services. Thus, it is not clear how the applicant ensures that student services meet the most important needs of its students.

Item 7.1

- a Although the applicant identifies several key student groups (physically disabled, single parent, and economically disadvantaged) as important to its overall success, few student learning results are segmented by these different student groups. Thus, how the applicant is able to track performance of these student groups and respond to their differing educational needs is not evident.

WORKSHEET FORMAT ESSENTIALS**Key Factors Worksheet**

- Organize into five sections, using the Areas to Address (Organizational Environment, Organizational Relationships, Competitive Environment, Strategic Challenges, Performance Improvement System) from the Preface: Organizational Profile section of the appropriate *Criteria for Performance Excellence* booklet.
- Limit the worksheet to 1–2 pages.
- Use phrases rather than complete sentences.
- Delineate phrases with bullets.
- Use a single line between phrases.
- Leave two lines between each of the five sections.

Key Themes Worksheet

- Organize into three sections to address the three questions concerning important strengths, significant opportunities, and key results.
- Limit the worksheet to 2–3 pages.
- Write 1–3 sentences per comment.
- Write comments that use complete sentences and that meet the Comment Guidelines.
- Delineate comments with bullets.
- Leave two lines between each of the comments.
- Write comments that are “feedback ready.” These comments should consist of 1–3 complete, actionable, and nonprescriptive sentences that address the central requirements of the Criteria; cite specific examples from the application; are tied to the applicant’s KFs and/or the Criteria Core Values, as appropriate; and meet both the content and style requirements of the Comment Guidelines.

Item Worksheet

- Complete one worksheet for each Item.
- Organize the information into three sections that address the most important key business/organization factors, strengths, and opportunities for improvement.
- Limit the worksheet to 1–2 pages.
- Capture and number the 4–6 most important KFs for the Item.
- Use a single, complete thought per comment. Each comment should contain a subject identified from the Criteria, verb(s) from the Criteria, examples from the application, and citations of figure numbers, as appropriate., as appropriate. Comments should also be explicitly linked to the applicant’s most appropriate KFs.
- Write 1–3 sentences per comment.
- Provide 6–10 comments per Item.
- Write comments that meet the Comment Guidelines.
- Use notations (e.g., a, b, c and +, ++, –, – –) to delineate comments. In addition, for Category 7 Item Worksheets, indicate which characteristics apply to the comments, i.e., levels and trends; segmentation; comparisons; and/or gaps.

- Leave two lines between each of the comments.
- Include a completed Site Visit Issues section for Stage 2 only—do not fill out this section for Stages 1 and 3.
- Include a completed Change Due to Site Visit Findings section for Stage 3 only; do not fill out this section for Stages 1 and 2.
- Write comments that are “feedback ready.” These comments should consist of 1–3 complete, actionable, and nonprescriptive sentences that address the central requirements of the Criteria, cite specific examples from the application, link to the applicant’s KFs, and meet both the content and style requirements of the Comment Guidelines.

SAMPLE ITEM WORKSHEETS

Item Worksheet—Item 2.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

- | | |
|--|--|
| 1. Headquarters in Cincinnati, Ohio, and facilities in southern Ohio, northern Kentucky, and southeastern Indiana | 4. Seven major competitors offering similar services |
| 2. Highly regulated environment | 5. Seven CSFs |
| 3. Six customer segments (active patients, potential/inactive patients, physicians, payors, employers, and community organizations) with identified requirements | 6. Nine strategic challenges |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; use Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
++	a(1)	6	The organization has a systematic seven-step Strategic Planning Process (SPP) that begins each January and continues through October of every year (Figure 2.1-1). Participants in the SPP include the ELT, Senior Leadership Teams (SLTs), selected Board members, and IC members from the OUs. The SPP begins with a bottom-up approach and is integrated with the TAP process to ensure that operational performance review is linked to strategic planning.
+	a(2)	3	As summarized in Figure 2.1-2, the SPP addresses many key factors, including patient and family needs, supplier capabilities, other stakeholder (e.g., payors, residents) needs, regulation, competitor information, technology capabilities, and economic conditions. These factors are assigned to specific ICs for analysis in the twelve-part Drill Down process.
+	b(1)	5	The organization has identified strategic objectives and targets for 2002-2005 (Figure 2.2-1). Each objective is aligned with at least one CSF to ensure that strategic initiatives are aligned and support the achievement of the organization’s Purpose and Destiny.

SAMPLE ITEM WORKSHEETS (Continued)

-/- -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
-	a(2)	2	The Financial and Market Strength (FMS) IC (Figure 2.1-2) is responsible for responding to the numerous requirements and risks related to regulation and accreditation. However, it is unclear how these issues are systematically addressed during the SPP, and no related strategic objectives are evident in Figure 2.2-1: Sample Strategic Objectives, Action Plans, Targets, and Balanced Scorecard Metrics.
-	b(2)	6	The applicant's strategic objectives do not appear to address all of the key strategic challenges outlined in P.2 of the Organizational Profile. For example, staff collaboration, uncompensated care, staffing shortages, managed care price pressure, and increasing drug costs are not specifically addressed through strategies or action plans. It is not clear how the applicant will be able to achieve its Purpose and Destiny without addressing all key challenges.
-	b(2)	3	It is not evident that the strategic objectives presented in Figure 2.2-1 balance the needs of all key stakeholders. For example, although the applicant identifies the needs of payors and employers in the Organizational Profile, specific strategic objectives and related action plans are not presented to support the needs of these two groups.
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only) <ul style="list-style-type: none"> • Verify the SPP and TAP processes and clarify how planning inputs are gathered and analyzed within the process. • Clarify how regulation is addressed in planning. • Clarify how strategic objectives are identified, how they address the organization's nine strategic challenges, and how they balance the needs of stakeholders. 			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only) ____ raise large ____ raise small ____ no change ____ lower small ____ lower large			

Item Worksheet—Item 2.1

Percent Score ____

SAMPLE ITEM WORKSHEETS (Continued)**Item Worksheet—Item 7.1**

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item.

1. Products/services delivered in person, by phone, on-line
2. Key customer groups: (1) consumers, (2) small business, (3) commercial
3. Key products/services by customer group: (1) personal finance products, securities, financial planning, insurance services, investment choices, loans, credit products; (2) finance products, loans, transaction services; (3) lending products, transaction services
4. Key requirements by customer group: (1) convenience, responsiveness, accuracy, timeliness of service, knowledgeable customer contact associates; (2) responsiveness, accuracy, timeliness of service; (3) same as (2) plus low interest rates, rapid loan approval
5. Competitors: top-tier banks (NMRB), megabanks (CSNC), regional bank holding companies, corp. credit unions, other credit unions and S&Ls in highly competitive industry
- 6.

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

Indicate which characteristics apply to the comment using the following key:

L = Levels and Trends; S = Segmentation; C = Comparisons; G = Gap

(Use Ctrl Tab to move to the next column within the comment field; use Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	L/S or C	Strengths (Include figure references, as appropriate.)
+	a(2)	3,4	L	Customer loyalty shows sustained improvement as measured by Average Number of Retail Products per Household (which increased from 1.2 in 1995 to 4.2 in 2001) and the Likelihood to Purchase Other Products (Figures 7.1-1 and 7.1-3). These results link to deployment of the applicant's cross-selling approach described in Item 3.2.
+	a, b	4	L	Sustained improvement trends in timeliness, a key customer requirement for the applicant's three key customer groups, are shown from 1998 through 2001 as measured by Average Teller Wait Time (Figure 7.1-8) and Time to Answer a Call (Figure 7.1-9).
- / - -	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)
-	a(1)	4	L	Results obtained from the applicant's customer satisfaction survey have remained flat over the last three years, in the 2.7–2.8 range on a scale of 1 to 5 (Figure 7.1-2). These results indicate that the applicant is not progressing toward its goal of achieving "top box" satisfaction levels by 2003.
-	a(1)	2, 4	S	Customer loyalty and customer satisfaction results (Figures 7.1-1 through 7.1-3) are not segmented by customer group, location, product, or service. This makes it difficult to understand how the applicant determines the level of loyalty and satisfaction from one customer group to another or identifies key opportunities for improvement.

SAMPLE ITEM WORKSHEET (Continued)

-/-	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)
- -	a, b	3	L, G	Results are not reported for many areas of importance to the applicant's key customer requirements. Other than responsiveness/timeliness measures (Average Teller Wait Time and Time to Answer a Call), the applicant presents no results for the key customer-focused measures/indicators shown in the Dashboard (Figure 4.1-1). For example, no results are shown relating to convenience, accuracy, knowledgeable customer contact associates, low interest rates, or rapid loan approval—all key customer requirements identified in the Organizational Profile. Also, results are not provided for customer complaint calls, complaint visits, and turnover.
-	a, b	4	C	The applicant presents no comparative data (e.g., industry averages, competitive data, or benchmark data) relating to customer satisfaction/loyalty or product/service results. Without this information, it is not clear how the applicant determines the relative strength of its current performance and whether its rate of improvement is sufficient to keep pace with the competition in its highly competitive industry.
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only) <ul style="list-style-type: none"> • Verify existing data and review updated data for the figures in Item 7.1 to determine current levels and sustainability of trends. Also clarify whether the applicant segments its customer-focused results by customer group, location, product, or service to understand and to improve its performance and, if so, what the data show. • Clarify whether results for Dashboard measures relating to key customer requirements (e.g., accuracy, low interest rates, rapid loan approval) and satisfaction (complaint data) are available and, if so, what the data show. • Clarify whether comparative data for customer-focused results are available and, if so, what the data show. 				
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only) <input type="checkbox"/> raise large <input type="checkbox"/> raise small <input type="checkbox"/> no change <input type="checkbox"/> lower small <input type="checkbox"/> lower large				

Item Worksheet—Item 7.1

Percent Score ____

Conflict of Interest Statement

As a member of the MBNQA Board of Examiners, I have voluntarily disclosed to the administrators of the Award Program the identity of my employers and clients—past, present, or potential—whose interest could be favorably or unfavorably affected by my actions while acting as a member of the Board. This includes disclosure of

- organizations in which I have financial holdings, including stock ownership and pension interests
- affiliations that may present or seem to present a conflict of interest, including my current and recent employers' key customers, key suppliers, key competitors, and other key stakeholders, as well as the employers of my immediate family members and/or significant others

I confirm the accuracy of the submissions I have made, and I reaffirm my willingness to abide by the Code of Ethical Standards/Declaration of Principles on the following page.

I reaffirm that I am not aware of any personal conflict of interest with this applicant. I will not disclose any information gained through the evaluation of the applicant about the applicant; the applicant's clients, competitors, customers, or suppliers; or any other associated person or organization to anyone other than those in the Baldrige National Quality Program directly involved with the applicant review process.

Name of Award Applicant_____

Signature of Examiner_____ Date_____

For Site Visits Only

Program Concurrence_____ Date _____

Code of Ethical Standards/Declaration of Principles

Members of the Malcolm Baldrige National Quality Award Board of Examiners pledge to uphold their professional principles in the fulfillment of their responsibilities as defined in the administration of Public Law 100-107, the Malcolm Baldrige National Quality Improvement Act of 1987, which establishes the Malcolm Baldrige National Quality Award.

In promoting high standards of public service and ethical conduct, board members

- shall conduct themselves professionally, with truth, accuracy, fairness, respect, and responsibility to the public
- shall not represent conflicting or competing interests nor place themselves in such a position where the board member's interest may be in conflict, or appear to be in conflict, with the purposes and administration of the Award
- shall safeguard the confidences of all parties involved in the judging or examination of present or former applicants
- shall not offer confidential information or disclosures that may in any way influence the Award integrity or process, currently or in the future
- shall not serve any private or special interest in fulfillment of the duties of a Judge or Examiner, therefore excluding, by definition, the examination of any organization or subunit of an organization by which he/she is employed or with which a consulting arrangement is in effect or anticipated
- shall not serve as Examiner of a primary competitor, customer, or supplier of any organization or subunit of an organization of which he/she is an employee, has a financial interest or is involved in, or with which he/she anticipates a consulting arrangement
- shall not intentionally communicate false or misleading information that may compromise the integrity of the Award process or decisions therein
- shall never approach an organization they have evaluated for their personal gain, including the establishment of an employment or consulting relationship
- if approached by an organization they have evaluated, shall not accept employment from that organization for a period of five years after the evaluation

Furthermore, it is pledged that as a member in good standing of the Malcolm Baldrige National Quality Award Board of Examiners, each board member shall strive to enhance and advance the Malcolm Baldrige National Quality Award as it serves to stimulate American companies and organizations to improve quality, productivity, and overall performance.

Signature of Examiner _____ Date _____

Key Factors Worksheet

To begin the evaluation process, review the applicant's Organizational Profile and the Additional Information Needed Form. List the key business/organization factors for this applicant, using the Areas to Address (Organizational Environment, Organizational Relationships, Competitive Environment, Strategic Challenges, Performance Improvement System) in the order presented in the Preface: Organizational Profile section of the appropriate *Criteria for Performance Excellence* booklet.

(For Stage 3, Site Visit Review, Only) Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit? If so, please describe.

Key Factors Worksheet

Key Themes Worksheet

The Key Themes Worksheet provides an overall summary of the key points in the evaluation of the application and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review, and Stage 3, Site Visit Review. A key theme is a strength or opportunity for improvement that addresses a central requirement of the Criteria, is common to more than one Item or Category (cross-cutting), is especially significant in terms of the applicant's KFs, and/or addresses a Core Value of the Criteria.

The Key Themes Worksheet should respond to the three questions below:

- a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?
- b. What are the most significant opportunities, concerns, or vulnerabilities identified?
- c. Considering the applicant's key business/organization factors, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?

Key Themes Worksheet

Item Worksheet—Item 1.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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|----|----|
| 1. | 4. |
| 2. | 5. |
| 3. | 6. |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; use Rtn or Enter key to begin a new comment.)

+ / + +	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / - -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
____ raise large	____ raise small	____ no change	____ lower small ____ lower large

Item Worksheet—Item 1.1

Percent Score ____

Item Worksheet—Item 1.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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| 1. | 4. |
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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
<div> <div>____ raise large</div> <div>____ raise small</div> <div>____ no change</div> <div>____ lower small</div> <div>____ lower large</div> </div>			

Item Worksheet—Item 1.2

Percent Score ____

Item Worksheet—Item 2.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
<div> <div>___ raise large</div> <div>___ raise small</div> <div>___ no change</div> <div>___ lower small</div> <div>___ lower large</div> </div>			

Item Worksheet—Item 2.1

Percent Score ____

Item Worksheet—Item 2.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
<div> <div>___ raise large</div> <div>___ raise small</div> <div>___ no change</div> <div>___ lower small</div> <div>___ lower large</div> </div>			

Item Worksheet—Item 2.2

Percent Score ____

Item Worksheet—Item 3.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
____ raise large	____ raise small	____ no change	____ lower small ____ lower large

Item Worksheet—Item 3.1

Percent Score ____

Item Worksheet—Item 3.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

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+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
<div> <div>___ raise large</div> <div>___ raise small</div> <div>___ no change</div> <div>___ lower small</div> <div>___ lower large</div> </div>			

Item Worksheet—Item 3.2

Percent Score ____

Item Worksheet—Item 4.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
<div> <div>___ raise large</div> <div>___ raise small</div> <div>___ no change</div> <div>___ lower small</div> <div>___ lower large</div> </div>			

Item Worksheet—Item 4.1

Percent Score ____

Item Worksheet—Item 4.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
___ raise large	___ raise small	___ no change	___ lower small ___ lower large

Item Worksheet—Item 4.2

Percent Score ____

Item Worksheet—Item 5.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+/++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
-/- -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
____ raise large	____ raise small	____ no change	____ lower small ____ lower large

Item Worksheet—Item 5.1

Percent Score ____

Item Worksheet—Item 5.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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| 1. | 4. |
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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
<div> <div>___ raise large</div> <div>___ raise small</div> <div>___ no change</div> <div>___ lower small</div> <div>___ lower large</div> </div>			

Item Worksheet—Item 5.2

Percent Score _____

Item Worksheet—Item 5.3

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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| 1. | 4. |
| 2. | 5. |
| 3. | 6. |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+/++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
-/- -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
____ raise large	____ raise small	____ no change	____ lower small ____ lower large

Item Worksheet—Item 5.3

Percent Score ____

Item Worksheet—Item 6.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

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+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
____ raise large	____ raise small	____ no change	____ lower small ____ lower large

Item Worksheet—Item 6.1

Percent Score ____

Item Worksheet—Item 6.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

(Use the mouse or arrow keys to move from section to section and within a section.)

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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| 1. | 4. |
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Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

(Use the mouse or Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	Strengths (Include figure references, as appropriate.)
- / -	Item Ref	KF Ref	Opportunities for Improvement (Include figure references, as appropriate.)
SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)			
Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)			
<div> <div>___ raise large</div> <div>___ raise small</div> <div>___ no change</div> <div>___ lower small</div> <div>___ lower large</div> </div>			

Item Worksheet—Item 6.2

Percent Score ____

Item Worksheet—Item 7.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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| 3. | 6. |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

Indicate which characteristics apply to the comment using the following key:

L = Levels and Trends; S = Segmentation; C= Comparisons; G = Gap

(Use Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	L/S or C	Strengths (Include figure references, as appropriate.)

- / - -	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)

☐ raise large
 ☐ raise small
 ☐ no change
 ☐ lower small
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Item Worksheet—Item 7.1

Percent Score ____

Item Worksheet—Item 7.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item.

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| 1. | 4. |
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+/++	Item Ref	KF Ref	L/S Or C	Strengths (Include figure references, as appropriate.)

-/- -	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)

____ raise large ____ raise small ____ no change ____ lower small ____ lower large

Item Worksheet—Item 7.2

Percent Score ____

Item Worksheet—Item 7.3

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

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|----|----|
| 1. | 4. |
| 2. | 5. |
| 3. | 6. |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

Indicate which characteristics apply to the comment using the following key:

L = Levels and Trends; S = Segmentation; C= Comparisons; G = Gap

(Use Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	L/S Or C	Strengths (Include figure references, as appropriate.)

- / - -	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)

____ raise large ____ raise small ____ no change ____ lower small ____ lower large

Item Worksheet—Item 7.3

Percent Score ____

Item Worksheet—Item 7.4

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

- | | |
|----|----|
| 1. | 4. |
| 2. | 5. |
| 3. | 6. |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

Indicate which characteristics apply to the comment using the following key:

L = Levels and Trends; S = Segmentation; C= Comparisons; G = Gap

(Use Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+/++	Item Ref	KF Ref	L/S Or C	Strengths (Include figure references, as appropriate.)

-/- -	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)

☐ raise large
 ☐ raise small
 ☐ no change
 ☐ lower small
 ☐ lower large

Item Worksheet—Item 7.4

Percent Score ____

Item Worksheet—Item 7.5

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

- | | |
|----|----|
| 1. | 4. |
| 2. | 5. |
| 3. | 6. |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

Indicate which characteristics apply to the comment using the following key:

L = Levels and Trends; S = Segmentation; C= Comparisons; G = Gap

(Use Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+ / ++	Item Ref	KF Ref	L/S or C	Strengths (Include figure references, as appropriate.)

- / - -	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)

____ raise large ____ raise small ____ no change ____ lower small ____ lower large

Item Worksheet—Item 7.5

Percent Score ____

Item Worksheet—Item 7.6

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its key business/organization factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item.

(Use the mouse or arrow keys to move to a new key factor. Hitting the return key will generate an additional number.)

- | | |
|----|----|
| 1. | 4. |
| 2. | 5. |
| 3. | 6. |

Include an indication of the relative importance/strength of the comment by using ++ or - - as appropriate.

Include a reference to the most relevant Key Factor(s).

Indicate which characteristics apply to the comment using the following key:

L = Levels and Trends; S = Segmentation; C= Comparisons; G = Gap

(Use Ctrl Tab to move to the next column within the comment field; Rtn or Enter key to begin a new comment.)

+/++	Item Ref	KF Ref	L/S Or C	Strengths (Include figure references, as appropriate.)
------	----------	--------	----------	--

-/- -	Item Ref	KF Ref	L/S/C or G	Opportunities for Improvement (Include figure references, as appropriate.)
-------	----------	--------	------------	--

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only)

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only)

____ raise large ____ raise small ____ no change ____ lower small ____ lower large

Item Worksheet—Item 7.6

Percent Score ____

SCORING GUIDELINES—BUSINESS CRITERIA**FOR USE WITH CATEGORIES 1-6**

Score	Approach-Deployment
0%	<ul style="list-style-type: none"> No systematic approach is evident; information is anecdotal.
10% to 20%	<ul style="list-style-type: none"> The beginning of a systematic approach to the basic requirements of the Item is evident. Major gaps exist in deployment that would inhibit progress in achieving the basic requirements of the Item. Early stages of a transition from reacting to problems to a general improvement orientation are evident.
30% to 40%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the basic requirements of the Item, is evident. The approach is deployed, although some areas or work units are in early stages of deployment. The beginning of a systematic approach to evaluation and improvement of key processes is evident.
50% to 60%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the overall requirements of the Item and your key business requirements, is evident. The approach is well deployed, although deployment may vary in some areas or work units. A fact-based, systematic evaluation and improvement process is in place for improving the efficiency and effectiveness of key processes. The approach is aligned with your basic organizational needs identified in the other Criteria Categories.
70% to 80%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the multiple requirements of the Item and your current and changing business needs, is evident. The approach is well deployed, with no significant gaps. A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; there is clear evidence of refinement, innovation, and improved integration as a result of organizational-level analysis and sharing. The approach is well integrated with your organizational needs identified in the other Criteria Categories.
90% to 100%	<ul style="list-style-type: none"> An effective, systematic approach, fully responsive to all the requirements of the Item and all your current and changing business needs, is evident. The approach is fully deployed without significant weaknesses or gaps in any areas or work units. A very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement, innovation, and integration, backed by excellent organizational-level analysis and sharing, are evident. The approach is fully integrated with your organizational needs identified in the other Criteria Categories.

FOR USE WITH CATEGORY 7

Score	Results
0%	<ul style="list-style-type: none"> There are no business results or poor results in areas reported.
10% to 20%	<ul style="list-style-type: none"> There are some improvements <i>and/or</i> early good performance levels in a few areas. Results are not reported for many to most areas of importance to your organization's key business requirements.
30% to 40%	<ul style="list-style-type: none"> Improvements <i>and/or</i> good performance levels are reported in many areas of importance to your organization's key business requirements. Early stages of developing trends and obtaining comparative information are evident. Results are reported for many to most areas of importance to your organization's key business requirements.
50% to 60%	<ul style="list-style-type: none"> Improvement trends <i>and/or</i> good performance levels are reported for most areas of importance to your organization's key business requirements. No pattern of adverse trends and no poor performance levels are evident in areas of importance to your organization's key business requirements. Some trends <i>and/or</i> current performance levels—evaluated against relevant comparisons <i>and/or</i> benchmarks—show areas of strength <i>and/or</i> good to very good relative performance levels. Business results address most key customer, market, and process requirements.
70% to 80%	<ul style="list-style-type: none"> Current performance is good to excellent in areas of importance to your organization's key business requirements. Most improvement trends <i>and/or</i> current performance levels are sustained. Many to most trends <i>and/or</i> current performance levels—evaluated against relevant comparisons <i>and/or</i> benchmarks—show areas of leadership and very good relative performance levels. Business results address most key customer, market, process, and action plan requirements.
90% to 100%	<ul style="list-style-type: none"> Current performance is excellent in most areas of importance to your organization's key business requirements. Excellent improvement trends <i>and/or</i> sustained excellent performance levels are reported in most areas. Evidence of industry and benchmark leadership is demonstrated in many areas. Business results fully address key customer, market, process, and action plan requirements.

SCORE SUMMARY WORKSHEET—BUSINESS CRITERIA

To enter data in this form, double click the worksheet. Enter the Item percent scores in column B. Do not enter data in any other column. The worksheet should automatically calculate the appropriate scores based on the information you enter.

SCORE SUMMARY WORKSHEET -- BUSINESS CRITERIA

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 - Use 10% Units) B	Score (AxB) C
Category 1			
1.1	70		0
1.2	50		0
Category Total	120		0
			SUM C
Category 2			
2.1	40		0
2.2	45		0
Category Total	85		0
			SUM C
Category 3			
3.1	40		0
3.2	45		0
Category Total	85		0
			SUM C
Category 4			
4.1	45		0
4.2	45		0
Category Total	90		0
			SUM C
Category 5			
5.1	35		0
5.2	25		0
5.3	25		0
Category Total	85		0
			SUM C
Category 6			
6.1	50		0
6.2	35		0
Category Total	85		0
			SUM C
Category 7			
7.1	75		0
7.2	75		0
7.3	75		0
7.4	75		
7.5	75		
7.6	75		0
Category Total	450		0
			SUM C
GRAND TOTAL (D)	1000		0
			D

SCORING GUIDELINES—EDUCATION CRITERIA**FOR USE WITH CATEGORIES 1-6**

Score	Approach-Deployment
0%	<ul style="list-style-type: none"> No systematic approach is evident; information is anecdotal.
10% to 20%	<ul style="list-style-type: none"> The beginning of a systematic approach to the basic requirements of the Item is evident. Major gaps exist in deployment that would inhibit progress in achieving the basic requirements of the Item. Early stages of a transition from reacting to problems to a general improvement orientation are evident.
30% to 40%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the basic requirements of the Item, is evident. The approach is deployed, although some areas or work units are in early stages of deployment. The beginning of a systematic approach to evaluation and improvement of key processes is evident.
50% to 60%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the overall requirements of the Item and your key organizational requirements, is evident. The approach is well deployed, although deployment may vary in some areas or work units. A fact-based, systematic evaluation and improvement process is in place for improving the efficiency and effectiveness of key processes. The approach is aligned with your basic organizational needs identified in the other Criteria Categories.
70% to 80%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the multiple requirements of the Item and your current and changing educational service needs, is evident. The approach is well deployed, with no significant gaps. A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; there is clear evidence of refinement, innovation, and improved integration as a result of organizational-level analysis and sharing. The approach is well integrated with your organizational needs identified in the other Criteria Categories.
90% to 100%	<ul style="list-style-type: none"> An effective, systematic approach, fully responsive to all the requirements of the Item and all your current and changing educational service needs, is evident. The approach is fully deployed without significant weaknesses or gaps in any areas or work units. A very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement, innovation, and integration, backed by excellent organizational-level analysis and sharing, are evident. The approach is fully integrated with your organizational needs identified in the other Criteria Categories.

FOR USE WITH CATEGORY 7

Score	Results
0%	<ul style="list-style-type: none"> There are no organizational performance results or poor results in areas reported.
10% to 20%	<ul style="list-style-type: none"> There are some improvements <i>and/or</i> early good performance levels in a few areas. Results are not reported for many to most areas of importance to your key organizational requirements.
30% to 40%	<ul style="list-style-type: none"> Improvements <i>and/or</i> good performance levels are reported in many areas of importance to your key organizational requirements. Early stages of developing trends and obtaining comparative information are evident. Results are reported for many to most areas of importance to your key organizational requirements.
50% to 60%	<ul style="list-style-type: none"> Improvement trends <i>and/or</i> good performance levels are reported for most areas of importance to your key organizational requirements. No pattern of adverse trends and no poor performance levels are evident in areas of importance to your key organizational requirements. Some trends <i>and/or</i> current performance levels—evaluated against relevant comparisons <i>and/or</i> benchmarks—show areas of strength <i>and/or</i> good to very good relative performance levels. Organizational performance results address most key student, stakeholder, market, and process requirements.
70% to 80%	<ul style="list-style-type: none"> Current performance is good to excellent in areas of importance to your key organizational requirements. Most improvement trends <i>and/or</i> current performance levels are sustained. Many to most trends <i>and/or</i> current performance levels—evaluated against relevant comparisons <i>and/or</i> benchmarks—show areas of leadership and very good relative performance levels. Organizational performance results address most key student, stakeholder, market, process, and action plan requirements.
90% to 100%	<ul style="list-style-type: none"> Current performance is excellent in most areas of importance to your key organizational requirements. Excellent improvement trends <i>and/or</i> sustained excellent performance levels are reported in most areas. Evidence of education sector and benchmark leadership is demonstrated in many areas. Organizational performance results fully address key student, stakeholder, market, process, and action plan requirements.

SCORE SUMMARY WORKSHEET—EDUCATION CRITERIA

To enter data in this form, double click the worksheet. Enter the Item percent scores in column B. Do not enter data in any other column. The worksheet should automatically calculate the appropriate scores based on the information you enter.

SCORE SUMMARY WORKSHEET -- EDUCATION CRITERIA

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 - Use 10% Units) B	Score (AxB) C
Category 1			
1.1	70		0
1.2	50		0
Category Total	120		0
			SUM C
Category 2			
2.1	40		0
2.2	45		0
Category Total	85		0
			SUM C
Category 3			
3.1	40		0
3.2	45		0
Category Total	85		0
			SUM C
Category 4			
4.1	45		0
4.2	45		0
Category Total	90		0
			SUM C
Category 5			
5.1	35		0
5.2	25		0
5.3	25		0
Category Total	85		0
			SUM C
Category 6			
6.1	50		0
6.2	35		0
Category Total	85		0
			SUM C
Category 7			
7.1	150		0
7.2	60		0
7.3	60		0
7.4	60		0
7.5	60		0
7.6	60		0
Category Total	450		0
			SUM C
GRAND TOTAL (D)	1000		0
			D

SCORING GUIDELINES—HEALTH CARE CRITERIA**FOR USE WITH CATEGORIES 1-6**

Score	Approach-Deployment
0%	<ul style="list-style-type: none"> No systematic approach is evident; information is anecdotal.
10% to 20%	<ul style="list-style-type: none"> The beginning of a systematic approach to the basic requirements of the Item is evident. Major gaps exist in deployment that would inhibit progress in achieving the basic requirements of the Item. Early stages of a transition from reacting to problems to a general improvement orientation are evident.
30% to 40%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the basic requirements of the Item, is evident. The approach is deployed, although some areas or work units are in early stages of deployment. The beginning of a systematic approach to evaluation and improvement of key processes is evident.
50% to 60%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the overall requirements of the Item and your key organizational requirements, is evident. The approach is well deployed, although deployment may vary in some areas or work units. A fact-based, systematic evaluation and improvement process is in place for improving the efficiency and effectiveness of key processes. The approach is aligned with your basic organizational needs identified in the other Criteria Categories.
70% to 80%	<ul style="list-style-type: none"> An effective, systematic approach, responsive to the multiple requirements of the Item and your current and changing health care needs, is evident. The approach is well deployed, with no significant gaps. A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; there is clear evidence of refinement, innovation, and improved integration as a result of organizational-level analysis and sharing. The approach is well integrated with your organizational needs identified in the other Criteria Categories.
90% to 100%	<ul style="list-style-type: none"> An effective, systematic approach, fully responsive to all the requirements of the Item and all your current and changing health care needs, is evident. The approach is fully deployed without significant weaknesses or gaps in any areas or work units. A very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement, innovation, and integration, backed by excellent organizational-level analysis and sharing, are evident. The approach is fully integrated with your organizational needs identified in the other Criteria Categories.

FOR USE WITH CATEGORY 7

Score	Results
0%	<ul style="list-style-type: none"> There are no organizational results or poor results in areas reported.
10% to 20%	<ul style="list-style-type: none"> There are some improvements <i>and/or</i> early good performance levels in a few areas. Results are not reported for many to most areas of importance to your key organizational requirements.
30% to 40%	<ul style="list-style-type: none"> Improvements <i>and/or</i> good performance levels are reported in many areas of importance to your key organizational requirements. Early stages of developing trends and obtaining comparative information are evident. Results are reported for many to most areas of importance to your key organizational requirements.
50% to 60%	<ul style="list-style-type: none"> Improvement trends <i>and/or</i> good performance levels are reported for most areas of importance to your key organizational requirements. No pattern of adverse trends and no poor performance levels are evident in areas of importance to your key organizational requirements. Some trends <i>and/or</i> current performance levels—evaluated against relevant comparisons <i>and/or</i> benchmarks—show areas of strength <i>and/or</i> good to very good relative performance levels. Organizational performance results address most key customer, market, and process requirements.
70% to 80%	<ul style="list-style-type: none"> Current performance is good to excellent in areas of importance to your key organizational requirements. Most improvement trends <i>and/or</i> current performance levels are sustained. Many to most trends <i>and/or</i> current performance levels—evaluated against relevant comparisons <i>and/or</i> benchmarks—show areas of leadership and very good relative performance levels. Organizational performance results address most key customer, market, process, and action plan requirements.
90% to 100%	<ul style="list-style-type: none"> Current performance is excellent in most areas of importance to your key organizational requirements. Excellent improvement trends <i>and/or</i> sustained excellent performance levels are reported in most areas. Evidence of health care sector and benchmark leadership is demonstrated in many areas. Organizational performance results fully address key customer, market, process, and action plan requirements.

SCORE SUMMARY WORKSHEET—HEALTH CARE CRITERIA

To enter data in this form, double click the worksheet. Enter the Item percent scores in column B. Do not enter data in any other column. The worksheet should automatically calculate the appropriate scores based on the information you enter.

SCORE SUMMARY WORKSHEET -- HEALTH CARE CRITERIA

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 - Use 10% Units) B	Score (AxB) C
Category 1			
1.1	70		0
1.2	50		0
Category Total	120		0
			SUM C
Category 2			
2.1	40		0
2.2	45		0
Category Total	85		0
			SUM C
Category 3			
3.1	40		0
3.2	45		0
Category Total	85		0
			SUM C
Category 4			
4.1	45		0
4.2	45		0
Category Total	90		0
			SUM C
Category 5			
5.1	35		0
5.2	25		0
5.3	25		0
Category Total	85		0
			SUM C
Category 6			
6.1	50		0
6.2	35		0
Category Total	85		0
			SUM C
Category 7			
7.1	75		0
7.2	75		0
7.3	75		0
7.4	75		0
7.5	75		0
7.6	75		0
Category Total	450		0
			SUM C
GRAND TOTAL (D)	1000		0

Scoring Band Descriptors

<i>Band</i>	<i>Band Number</i>	<i>Descriptors</i>
0–250	1	The organization demonstrates the early stages of developing and implementing approaches to Category requirements. However, important gaps exist in most Categories.
251–350	2	The organization demonstrates the beginning of a systematic approach responsive to the basic requirements of the Items, but major gaps exist in approach and deployment in some Categories. The organization is in the early stages of obtaining results stemming from approaches, with some improvements and good performance observed.
351–450	3	The organization demonstrates an effective, systematic approach responsive to the basic requirements of most Items, but deployment in some key areas or work units is still too early to demonstrate results. Early improvement trends and comparative data in areas of importance to key organizational requirements are evident.
451–550	4	The organization demonstrates effective, systematic approaches to the overall requirements of the Items, but deployment may vary in some areas or work units. Fact-based evaluation and improvement address the efficiency and effectiveness of key processes. Results address key customer/stakeholder and process requirements, and they demonstrate some areas of strength and/or good performance.
551–650	5	The organization demonstrates an effective, systematic approach responsive to the overall requirements of the Items and to key organizational needs, with a fact-based, systematic evaluation and improvement process resulting in overall organizational learning. There are no major gaps in deployment. Improvement trends and/or good performance are reported for most areas of importance. Results address most key customer/stakeholder, market, and process requirements and demonstrate areas of strength.
651–750	6	The organization demonstrates refined approaches, including key measures, good deployment, and very good results in most Areas. Organizational alignment, learning, and sharing are key management tools. Some outstanding activities and results address key customer/stakeholder, market, process, and action plan requirements. The organization is an industry* leader in some Areas.
751–875	7	The organization demonstrates refined approaches, innovation, excellent deployment, and good to excellent performance improvement and levels in most Areas. Good to excellent integration and alignment are evident, with organizational analysis, learning, and sharing of best practices as key management strategies. Industry leadership and some benchmark leadership are demonstrated in results that address most key customer/stakeholder, market, process, and action plan requirements.
876–1000	8	The organization demonstrates outstanding approaches, innovation, full deployment, and excellent and sustained performance results. Excellent integration and alignment are evident, and organizational analysis, learning, and sharing of best practices are pervasive. National and world leadership is demonstrated in results that fully address key customer/stakeholder, market, process, and action plan requirements.

*Industry refers to other organizations performing substantially the same functions, thereby facilitating direct comparisons.

CHECKLIST

Before you return this scorebook to ASQ:

☐ If this is the Stage 1 review, have you scored each Item in increments of 10% (e.g., 10%, 20%, 30%)?

Have you included the following in the package you are returning?

☐ the cover sheet of the scorebook (with the appropriate Criteria and process stage checked)?

☐ the signed Conflict of Interest Statement?

☐ the signed Code of Ethical Standards/Declaration of Principles Statement?

☐ the Key Factors Worksheet?

☐ the Key Themes Worksheet?

☐ Item Worksheets for all Items?

☐ the appropriate Score Summary Worksheet (Business, Education, or Health Care)?

☐ the completed Checklist?

Return the scorebook to

**Malcolm Baldrige National
Quality Award**
American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205

**The Worksheets in This Section
Are Used Only at Stage 3,
Site Visit Review**

INTRODUCTION AND GENERAL INSTRUCTIONS—STAGE 3, SITE VISIT REVIEW

Introduction

The scorebook at Stage 3, Site Visit Review, contains the following forms and worksheets.

- the Key Factors Worksheet
- the Key Themes Worksheet
- Item Worksheets
- Site Visit Issue Worksheets
- the Summary of Sites Visited
- the Score Summary Worksheet—Site Visit
- the signature page

The Site Visit Issue Worksheet, Summary of Sites Visited, Score Summary Worksheet—Site Visit, and signature page are all specific to Stage 3, Site Visit Review. The Site Visit Team may download copies of the scorebook from the Baldrige Web site at <http://www.baldrige.nist.gov/03scorebook.htm> or create similar worksheets on a word processor. The worksheets are described below.

Key Factors Worksheet at Stage 3, Site Visit

The Key Factors Worksheet records the key business/organization factors (KFs) that were considered in the evaluation of the applicant. KFs help define what is important and relevant to the applicant. These are listed in the consensus scorebook and modified as necessary to reflect new information obtained during the site visit. Knowledge and use of the KFs are essential to the proper conduct of a site visit evaluation. In anticipation of the team leader's discussion with the Judges, the team not only provides the KFs but also completes the question at the bottom of the form, "Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit?"

Key Themes Worksheet at Stage 3, Site Visit

The Key Themes Worksheet provides key points and an overall summary of the Site Visit Team's evaluation of the applicant. It is an update of the Key Themes Worksheet from Stage 2, Consensus Review. Please limit the summary to 2–3 pages.

This information is based on the overall context provided by the evaluation framework (the Criteria Categories) and the Core Values and Concepts (found in the appropriate *Criteria for Performance Excellence* [Business, Education, or Health Care]) that pervade the evaluation framework. The Key Themes Worksheet should not just repeat the findings given in the Item Worksheets. Rather, it should put them in perspective, taking into account Category linkages, KFs, and Core Values.

The Key Themes Worksheet should respond to the following questions.

- a. What are the most important strengths or outstanding practices (of potential value to other organizations) that the team identified?
- b. What are the most significant opportunities, concerns, or vulnerabilities that the team identified?
- c. Considering the applicant's KFs, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?

Item Worksheet at Stage 3, Site Visit

This worksheet is the team's record of its final evaluation of the applicant for each of the Criteria Items.

As issues are addressed and findings are recorded, the team assesses and integrates these findings to develop a revised set of strengths and opportunities for improvement (OFIs) for each Item.

Strengths and OFIs will come from three main sources: (1) the consensus scorebook, (2) resolution of the site visit issues, and (3) new information arising from the site visit. In particular, OFIs often become more clearly defined as missing information becomes available during the site visit. Effective recording of strengths and OFIs is important for the Judges' deliberations and for the feedback report.

No rescoring is done at Stage 3, Site Visit Review; however, the Site Visit Team will be asked to indicate the impact of its findings on the consensus score for each Item and for the Grand Total Score. The impact is captured by selecting one of the following options: raise large, raise small, no change, lower small, or lower large. As each Item Worksheet is completed, the team records the original consensus score for the Item at the bottom of the form and checks the appropriate space to indicate what change, if any, the site visit findings would have on the score. Teams make these determinations based on the wording in the Scoring Guidelines. If the site visit findings indicate that the applicant would be better described by the wording of the next higher or next lower scoring range, the team would mark “raise large” or “lower large,” respectively. If the team’s findings for Items indicate a change from the Consensus score, but are still best described by the wording of the Consensus scoring range, the team would mark “raise small” or “lower small,” respectively.

Site Visit Issue Worksheet

The Site Visit Issue Worksheet is used initially to describe an issue that needs verification and/or clarification during the site visit and outlines the strategy to be used to obtain the information needed for verification/clarification. Site visit issues are identified by the team during the consensus process and then reviewed and refined during site visit planning. Team members target those issues that will best contribute to their understanding of the performance of the applicant relative to the Criteria requirements.

After site visit issues have been identified, but before the site visit begins, the team prioritizes the issues (e.g., high, medium, low). Each team member records the priority at the top of the page and indicates the Item addressed by the site visit issue. The consensus evaluation of the issue, i.e., whether it was a strength (+/++), an OFI (–/– –), or not evaluated during consensus is recorded.

Only one site visit issue is recorded per worksheet. During the site visit, any new issue identified is recorded on a separate worksheet.

Prior to the site visit, the team may make copies of the partially completed worksheets so that team members can make notes on the appropriate worksheets during on-site meetings with the applicant. Each evening while on the site visit, Examiners review their notes and electronically record their findings on the original copy of the worksheet. The original worksheet will be submitted as part of the site visit scorebook to assist the Judges in their decision making.

In team meetings, using their Site Visit Issue Worksheets, team members discuss their preliminary findings and conclusions. Findings might include observations, specific answers, and/or updated results that clearly relate to the resolution of the site visit issue and may lead to revisions of the Item Worksheet comments. Conclusions indicate how the findings affect Item comments; they do not include value judgments. Until the site visit is complete, preliminary conclusions are subject to change as new information becomes available. The team discussions and preliminary conclusions will help guide the team’s work during the site visit.

As each issue is investigated and findings are completed, the team decides what change, if any, the site visit findings would have on the associated Item’s score (i.e., raise, no effect, lower) and places a check at the bottom of the form to indicate its decision.

Summary of Sites Visited

The Summary of Sites Visited contains information about the extent and thoroughness of the site visit. The team will list the major locations of the applicant that they visited and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Additional Information Needed Form. Examples of such aspects might include the oldest facility, the site with a major reduction in force, the location where the newest product will be manufactured, or the telephone or data service center that runs three shifts. In addition, Examiners describe approaches they used to evaluate sites that they did not visit, including sites outside the United States.

This worksheet also contains any other information on the team’s strategy for a thorough site visit. Examples might include such information as the following:

- “Interviewed employees on all three shifts”
- “Interviewed categories/types of employees”
- “Visited at least one location in all locations in all of the operating regions”
- “Did a sampling at all levels and in all locations of the organization’s critical data systems”

Requirements for a Good Scorebook

When completed, the site visit scorebook will contain a well-documented, nonbiased trail of evidence that demonstrates how the Key Themes Worksheet conclusions are related to information obtained from the written application and the site visit. The trail of evidence will

- start with the consensus scorebook and site visit issues;
- show the strategy of the site visit, as illustrated by the sites visited, the site visit issues chosen, and the new findings;
- describe in the Site Visit Issue Worksheets how the site visit findings modify the conclusions drawn in the original consensus scorebook;
- show how the Item Worksheets are revised based on the site visit findings;
- show how the team's conclusions in the Key Themes Worksheet can be traced from the Item Worksheets;
- show how the linkages identified in the Key Themes Worksheet are reflected in the Item Worksheets.

Score Summary Worksheet—Site Visit

A member of the team transfers the percent scores and the changes due to the site visit findings (e.g., raise large, raise small) from the Item Worksheets to the Score Summary Worksheet—Site Visit, and then transfers the Category percent scores from the consensus scoresheet. The team must then decide if the percent score for each Category and the Grand Total score would have changed due to the site visit findings and record these determinations on the Score Summary Worksheet—Site Visit. When deciding on changes to Category percent scores, the team considers the Item changes and the weights of the individual Items within the Category, and then considers the effect of Item and Category changes on the Grand Total. Finally, using the Scoring Band Descriptors, the team determines which descriptor best reflects the team's view of the applicant and indicates the band number at the bottom of the Score Summary Worksheet—Site Visit.

Signature Page

The final requirement of the Site Visit Team members is the completion of the signature page of the scorebook. The statement reads, "I support the findings of the Site Visit Team contained in this scorebook." In the spaces provided, each Site Visit Team member should print his/her name and then sign the form.

Site Visit Scorebook Composition

When the site visit scorebook writing is finished, the Site Visit Team assembles the completed scorebook in the following order:

1. the cover sheet
2. the Summary of Sites Visited
3. the Key Factors Worksheet
4. the Key Themes Worksheet
5. one Item Worksheet for each Item
6. the Site Visit Issue Worksheets
7. the Score Summary Worksheet—Site Visit
8. the signature page

Site Visit Scorebook Submission

At the conclusion of the site visit, an original paper version of the site visit scorebook is made for the NIST monitor. Four electronic (disk) copies of the site visit scorebook are made—one each for NIST, ASQ, the team leader, and the backup team leader. The NIST monitor retains the paper version and the disk for NIST and forwards one of the disks to ASQ at

Malcolm Baldrige National Quality Award

American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205

Site Visit Issue Worksheet (Record only one issue per page.)

Priority ____High ____Medium ____Low

Item Reference _____ Issue _____

This worksheet explores an issue requiring verification and/or clarification at the site visit.

Consensus Evaluation: *Strength* ____ + ____ ++ *OFI* ____ - ____ -- *Not originally evaluated* ____

Strategy (What information do you need, and how do you intend to obtain it, e.g., persons to interview, questions to ask, specific documents to review and for what purpose, and observations to make?)

Findings (What observations, specific answers, and/or updated results did you find during the site visit?)

Conclusions (What is the resolution of this site visit issue based on your findings? Include a statement regarding how the conclusion impacts comments on a specific Item Worksheet or the Key Themes Worksheet—give the Item Worksheet number, and indicate the specific comment being revised, deleted, or replaced.)

Effect of Findings/Conclusions on Score ____ raise ____ no effect ____ lower

(If more than one finding, put “*” next to the most important one for the score change.)

Site Visit Issue Worksheet

Summary of Sites Visited

This worksheet conveys the extent and thoroughness of the site visit.

Length of the site visit (number of days with the applicant)

Sites visited (List the major applicant sites visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Additional Information Needed Form.)

Approaches used to evaluate sites not visited, including sites outside the United States (if appropriate)

Other information on the team's strategy for a thorough site visit (e.g., categories and types of employees interviewed and shifts)

Summary of Sites Visited

SCORE SUMMARY WORKSHEET—SITE VISIT

Transfer the percent scores and the changes due to the site visit findings (e.g., raise large, raise small) from the Item Worksheets to the Score Summary Worksheet. Then transfer the Category percent scores from the consensus scoresheet. The team must then decide if the percent score for each Category and the Grand Total score would have changed due to the site visit findings and record these determinations on this worksheet. When deciding on changes to Category percent scores, consider the Item changes and the weights of the individual Items within the Category. Then consider the effect of Item and Category changes on the Grand Total. Finally, using the Scoring Band Descriptors, determine which descriptor best reflects the team's view of the applicant and indicate the band number in the space provided.

	Consensus Percent Score	Changes Due to Site Visit Findings				
		Raise Large	Raise Small	No Change	Lower Small	Lower Large
Item 1.1						
Item 1.2						
Category 1						
Item 2.1						
Item 2.2						
Category 2						
Item 3.1						
Item 3.2						
Category 3						
Item 4.1						
Item 4.2						
Category 4						
Item 5.1						
Item 5.2						
Item 5.3						
Category 5						
Item 6.1						
Item 6.2						
Category 6						
Item 7.1						
Item 7.2						
Item 7.3						
Item 7.4						
Item 7.5						
Item 7.6						
Category 7						
Grand Total Consensus Score						

The most accurate band descriptor for this applicant is the descriptor for band number ____.

Score Summary Worksheet—Site Visit

Signature Page

I support the findings of the Site Visit Team contained in this scorebook.

Name (Please print)

Signature

Baldrige National Quality Program

Baldrige National Quality Program
National Institute of Standards and Technology
Technology Administration
United States Department of Commerce
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

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600 North Plankinton Avenue
P.O. Box 3005
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